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2-9-W

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

**VERIFIED STATEMENT CLAIMING  
SMALL ENTITY STATUS  
37 CFR 1.9(c-f) and 1.27(b-d)**

Docket Number:  
10644/50101

Application Number  
09/449,801

Filing Date  
November 26, 1999

Examiner  
To be assigned

Art Unit  
To be assigned

Invention Title  
**ORGANIC PHOTSENSITIVE  
OPTOELECTRONIC DEVICE WITH AN  
EXCITON BLOCKING LAYER**

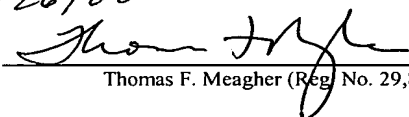
Inventor(s)  
**FORREST et al.**

Address to:  
Assistant Commissioner for Patents  
Washington D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on

Date: 1/26/00

Signature:

  
Thomas F. Meagher (Reg. No. 29,831)

With respect to the invention described in the above-identified application, I declare that I am an official empowered to act on behalf of the small business concern identified below:

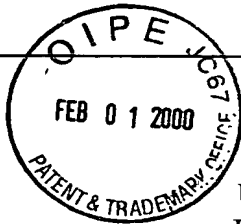
ORGANIZATION: GLOBAL PHOTONIC ENERGY CORPORATION

ADDRESS: 375 Phillips Boulevard  
Ewing, New Jersey 08618

ORGANIZATION TYPE: A small business concern.

and that the small business concern identified above qualifies as a small business concern as defined in 37 CFR 1.9(d) for purposes of paying reduced fees under 35 U.S.C. 41(a) and (b).

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.



U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

**TRANSMITTAL OF SMALL ENTITY  
STATEMENT AND REQUEST FOR  
REFUND**

Docket Number:  
**10644/50101**

Application Number  
**09/449,801**

Filing Date  
**November 26, 1999**

Examiner  
**Not yet assigned**

Art Unit  
**Not yet assigned**

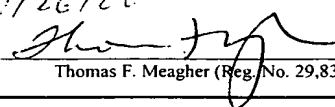
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Dated: **1/26/00**

Signature   
Thomas F. Meagher (Reg. No. 29,831)

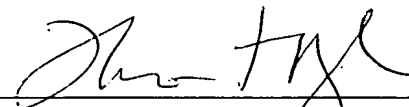
Enclosed are Verified Statements Claiming Small Entity Status from The Trustees of Princeton University and Global Photonic Energy Corporation for the above-referenced patent application.

Pursuant to 37 C.F.R. 1.28(a) and 1.26, Applicants request a refund of **\$416.00** which is the excess amount of the filing fee timely paid prior to establishing Small Entity Status. The refund should be credited to Deposit Account No. **11-0600**.

A duplicate of this letter is enclosed.

Dated: **1/26/00**

By:

  
Thomas F. Meagher (Reg. No. 29,831)

KENYON & KENYON  
One Broadway  
New York, N.Y. 10004  
(212) 425-7200 (telephone)  
(212) 425-5288 (facsimile)

I hereby declare that the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in the above-identified application.

If the rights held by the above-identified small business concern are not exclusive, each individual concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) that person made the invention or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME: THE TRUSTEES OF PRINCETON UNIVERSITY

ADDRESS: P.O. Box 36, Princeton, New Jersey 08544

ORGANIZATION TYPE: A University or other institution of higher education located in any country.

The Trustees of Princeton University have submitted a separate verified declaration claiming small entity status under 37 CFR 1.9(c-f) and 1.27(b-d).

FULL NAME: UNITED STATES OF AMERICA, as represented by DARPA

ADDRESS: Washington, D.C.


While Federal Government agencies do not qualify as nonprofit organizations for paying reduced fees, the license to the United States of America, as represented by DARPA resulted from a funding agreement with DARPA pursuant to 35 U.S.C. 202(c)(4) and so, pursuant to MPEP 509.02, this does not preclude the proper claiming of small entity status.

#### **1. ACKNOWLEDGMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

## 2. DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further than these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under 18 U.S.C. 1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

|  |  |                 |
|--|--|-----------------|
| Signer's Name<br>Sidney Rosenblatt                                   | Signature<br> | Date<br>1/20/00 |
| Signer's Title:<br>EVP & CFO   |  |                 |
| Signer's Address:<br>375 Phillips Boulevard, Ewing, New Jersey 08618 |  |                 |

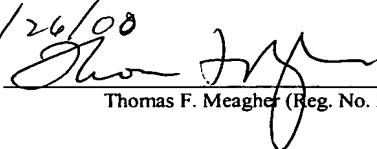


#3

2-1-0

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**FORREST et al.**Address to:  
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Washington D.C. 20231I hereby certify that this correspondence is being deposited with the United  
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Assistant Commissioner for Patents, Washington, D.C. 20231 on

Date: 11/26/00

Signature:   
Thomas F. Meagher (Reg. No. 29,831)

With respect to the invention described in the above-identified application, I declare that  
I am an official empowered to act on behalf of the nonprofit organization identified below:

ORGANIZATION: THE TRUSTEES OF PRINCETON UNIVERSITY

ADDRESS: P.O. Box 36, Princeton, New Jersey 08544

ORGANIZATION TYPE: A university or other institution of higher education located in any  
country

and that the nonprofit organization identified above qualifies as a nonprofit organization as  
defined in 37 CFR 1.9(e) for purposes of paying reduced fees under 35 U.S.C. 41(a) and (b).

I hereby declare that rights under contract or law have been conveyed to and remain with the  
nonprofit organization regarding the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME: GLOBAL PHOTONIC ENERGY CORPORATION

ADDRESS: 3166 Mathieson Drive  
Atlanta, Georgia 30305

ORGANIZATION TYPE: A small business concern.

Global Photonic Energy Corporation has submitted a separate verified declaration claiming small entity status under 37 CFR 1.9(c-f) and 1.27(b-d).

FULL NAME: UNITED STATES OF AMERICA, as represented by DARPA

ADDRESS: Washington, D.C.

While Federal Government agencies do not qualify as nonprofit organizations for paying reduced fees, the license to the United States of America, as represented by DARPA, resulted from a funding agreement with DARPA pursuant to 35 U.S.C. 202(c)(4) and so, pursuant to MPEP 509.02, this does not preclude the proper claiming of small entity status.

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Signer's Name

Allen J. Sinisgalli

Signature

*Allen J. Sinisgalli*

Date

1/7/92

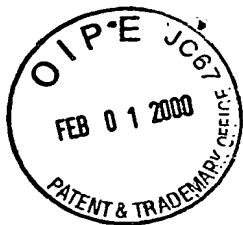
Signer's Title:

Associate Provost of Research and Project Admin.

Signer's Address:

5 New South Building, Princeton University, Princeton, NJ 08544-0036

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[10644/50101]

**APPOINTMENT OF POWER OF ATTORNEY  
BY ASSIGNEES OF ENTIRE INTEREST**

THE TRUSTEES OF PRINCETON UNIVERSITY, as assignee of the entire right, title, and interest in the application for patent entitled **ORGANIC PHOTSENSITIVE OPTOELECTRONIC DEVICE WITH AN EXCITON BLOCKING LAYER**, which was filed on November 26, 1999, as U.S. Serial Number 09/449,801, hereby appoints Thomas F. Meagher (Registration No. 29,831), Stuart J. Sinder (Registration No. 25,377), Frank Pietrantonio (Registration No. 32,289), Patrick J. Birde (Registration No. 29,770), Ronald J. Campbell (Registration No. 33,842), John McGroarty (Registration No. 41,186), George O. Winborne (Registration No. 43,277) and Kristina M. Jahns (Registration No. 41,092), as its attorneys/agents with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please address all communications regarding this application to:

Thomas F. Meagher  
KENYON & KENYON  
One Broadway  
New York, New York 10004

Please direct all telephone calls to Thomas F. Meagher at (212) 425-7200.

THE TRUSTEES OF PRINCETON UNIVERSITY  
Post Office Box 36  
Princeton, New Jersey 08544

Dated:

By: Allen J. Sinisgalli

Name: Allen J. Sinisgalli

Title: Associate Provost of Research & Project Admin.

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